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Monterey, California

THESIS

MANAGEMENT CONTROL OF AVIATION CAREER INCENTIVE PAY FOR SELECTED RESERVISTS OF THE NAVAL RESERVE

by

Eddie B. Ross

June, 1991

Thesis Advisor: Jerry L. McCaffery

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Management Control of Aviation Career
Incentive Pay for Selected Reservists of the
Naval Reserve

by

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Lieutenant Commander, United States Navy Reserve
B.S. Tarleton State University, 1975

Submitted in partial fulfillment
of the requirements for the degree of

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This study was conducted to determine if the management controls currently being used by the Naval Reserve Force to control Aviation Career Incentive Pay (ACIP) to members of the Naval Reserve are effective in preventing erroneous payments. The current method of control was compared to the Mockler Management Control Model presented in the thesis. A systematic analysis of the different reports and documents currently being used by reserve field activities was conducted and determined to be inadequate. Based on the research conducted, this thesis recommends a new control report that combines all information necessary for reserve field activities to effectively and efficiently determine ACIP entitlement for Selected Reserve personnel.

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I. INTRODUCTION

A. GENERAL

The Naval Reserve is the reserve component of the Navy, authorized and established by Title 10, U. S. Code 261 and 262. Since its inception on May 3, 1915, the Naval Reserve has been instrumental in numerous wars and conflicts, from World War II to the most recent war against Iraq.

The Reserve Force structure consists of two main groups. The larger is the Ready Reserve which includes Active Duty and Inactive Duty Reservists. The smaller group is comprised of retired personnel and Standby Reservists. Active Duty Reservists serve full time with Regular Navy forces, or may be designated as TAR's (Training and Administration of Reserves). Inactive Duty Reservists are made up of three groups: drilling Selected Reservists (SELRES), students in any of the training programs for NROTC and those in the Individual Ready Reserve. This thesis will be concerned strictly with the Selected Reserve officer component of the Naval Reserve Force.

Most SELRES officers have previously served on active duty in some capacity, although some officers may receive a reserve commission based on their education and experience. SELRES aviators (pilots and Naval Flight Officers), were commissioned and designated as naval aviators while serving on

active duty. Once released from active duty and accepted into the Naval Reserve, SELRES aviators are assigned to billets in either a drill pay or non-drill pay status in Naval Reserve aircraft squadrons or re-enforcing and sustaining units located at Naval Reserve Readiness Commands, Naval Air Stations, Naval Air Facilities and Naval Reserve Centers. For the purpose of this thesis, the term "SELRES" will refer to pilots and Naval Flight Officers who are Inactive Duty Reservists.

B. BACKGROUND

Designated naval aviators serving on active duty, are entitled to receive continuous Aviation Career Incentive Pay (ACIP) as long as they are physically qualified. They must also accumulate a minimum number of months of flying to pass their aviation career screening gates at the 12th and 18th year of aviation service. If otherwise qualified, ACIP continues regardless of the aviators assignment to either a flying or non-flying billet.

SELRES must also meet the same physical qualifications and aviation career screening gates to be eligible for continuous ACIP. However, for those SELRES assigned to a re-enforcing and sustaining unit, additional requirements must be met. If assigned to a billet with a Billet Designator Code of 13XX or 1515, they are entitled to receive continuous ACIP if physically qualified. ACIP is discontinued after 24 months if

personnel are assigned to a billet which has a non-13XX or 1515 Billet Designator Code. This additional stipulation requires that reserve field activities monitor those reserve aviators in non-qualifying billets to ensure that payment of ACIP is not erroneously made. This thesis will attempt to determine how this procedure is accomplished.

C. OBJECTIVE

The objective of this thesis will be to determine the management controls currently being used by Naval Reserve Centers, Naval Air Stations and other reserve field activities to monitor the payment of ACIP to SELRES and determine if additional controls should be implemented.

D. RESEARCH QUESTIONS

The primary research question which will be addressed is: "Are the current methods of management control within the Naval Reserve Force adequate to ensure accurate payment of ACIP to SELRES and can those procedures be accomplished efficiently by reserve field activities?"

This leads to three secondary issues:

(1) How do reserve field activities currently track payment of ACIP?

(2) What liaison exists between the Naval Reserve Force headquarters and reserve field activities in ensuring that SELRES are not erroneously paid ACIP?

(3) What, if any, additional controls should be instituted to more easily manage the payment of ACIP to SELRES?

E. SCOPE AND LIMITATIONS

The focus of this thesis is to analyze the management controls that exist within the Naval Reserve Force to monitor the payment of ACIP to SELRES based on reserve billet assignment. Areas of concern include not only the reserve field activities (Naval Reserve Readiness Commands, Naval Air Stations and Reserve Centers), but also the headquarters of the Naval Reserve Force.

Only SELRES assigned to re-enforcing and sustaining units and other non-flying units will be addressed. SELRES assigned to operational flying billets are automatically entitled to ACIP and will therefore not be addressed.

This thesis will not address the problems of initial ACIP payments to SELRES when they first affiliate with the Naval Reserve, physical qualification requirements or the accumulation of months of flying in meeting the aviation career screening gates. Although these problems are of major concern to SELRES, they are beyond the scope and limitations for this thesis research.

F. LITERATURE REVIEW AND METHODOLOGY

The methods used to collect research data consisted of a literature review and interviews. Literature researched

included numerous books on management control theory, information systems management, Department of Navy instructions and other applicable research reports.

Interviews were conducted with Commander Naval Reserve Force and Commander Naval Air Reserve Force staffs for correct interpretation of instructions and procedures. Personnel from a cross section of reserve field activities throughout the United States were also interviewed to gain an insight into their management control practices and to help formulate corrective recommendations.

G. ORGANIZATION

This thesis is presented in five chapters and two supporting appendices. Chapter I provides a general discussion and background of the Naval Reserve and Selected Reservists, as well as the objective of the thesis and research questions to be addressed.

Chapter II presents the concept of management control theory within an organization. Differences in management control techniques between non-profit and for-profit organizations are presented for a better understanding of the problems faced by military and government managers.

Chapter III explains the Aviation Career Incentive Pay program in detail and addresses the issue of active duty and SELRES requirements.

Chapter IV presents the data obtained from interviews with Naval Reserve staffs and reserve field activities about management control of ACIP. Various problem areas such as ineffective billet tracking procedures and poor management control techniques are also discussed.

Chapter V contains conclusions and the recommendation developed as a result of the research for this thesis. They are presented in an effort to resolve specific problem areas within ACIP management control.

Appendix A is a listing of acronyms and definitions of key terms used throughout this thesis. Included in Appendix B are examples of forms and reports used by field activities in controlling ACIP payments to SELRES.

II. MANAGEMENT CONTROL THEORY

A. GENERAL

Before the Navy's management control of ACIP payments to SELRES can be properly evaluated, the subject of control, in general, and management control, in particular, must be discussed. This chapter defines management control and will examine the characteristics of a successful control system. Differences in management control techniques between non-profit and for-profit organizations are explored relative to the evaluation of ACIP payments to SELRES.

B. THE CONCEPT OF CONTROL

Koontz and O'Donnell (1955, p. 583) state that the basic control process, regardless of where it is found or what it controls, can be seen as involving three steps: (1) establishing standards; (2) measuring performance against these standards; and (3) correcting deviations from standards and plans. Although this is a generalized view of control, it is exemplified in all organizations, business and non-business, large and small. Koontz and O'Donnell state that one crucial aspect of control is the concept of information feedback, the process which discloses errors or deficiencies in goal attainment and feeds this information back into the system. Examples of control through information feedback

abound. They include: (1) the regulation of temperature and respiratory functions in the human body; (2) the regulation of home heating and cooling through a thermostat; or (3) the achievement of goals or policies through free elections in a democratic society. This process of feedback is depicted in Figure 2.1 below.

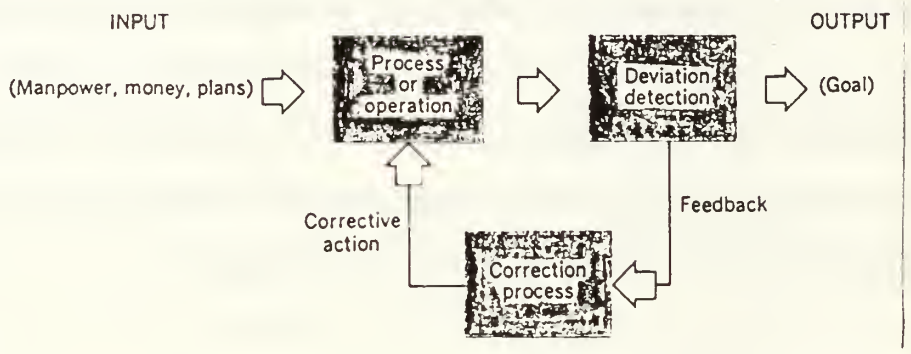

Figure 2.1. Simple Feedback (Koontz and O'Donnell, 1955, p. 586)

C. PLANNING AND CONTROL PROCESSES

The purpose of the following discussion of planning and control processes is to place the management control function into proper perspective. Prior planning and the establishment of standards must occur prior to control procedures being instituted. As the management control process occurs, control and planning must occur simultaneously throughout the organization. Robert N. Anthony's Planning and Control Systems: A Framework for Analysis (1965), uses this general

subject area as the starting point for his discussion of management control. Anthony notes that there is a natural temptation to separate the two areas--planning and control--for study. The separation of planning and control has been used by several authors including Mockler (1972), Koontz and O'Donnell (1955), and Fayol (1925). Mockler asserts that the planning and control functions are distinct: the management planning process leads to the creation of a corporate plan, and the management control process leads to the development of control tools and systems and control performance within the framework of the corporate plan. (Mockler, 1972, p. 8)

McFarland takes an entirely different view, however. He maintains that although the separation is intuitively appealing from a theoretical standpoint,

> in reality it is not a useful breakdown. Planning and organizing logically precede the control phase of managerial actions. However, a circular relationship is actually more descriptive, since control is the result of particular plans, objectives or policies and since it occurs within the context of an organization. Planning and organizing not only affect control but are also affected by control itself. (McFarland, 1974, p. 391)

In this context Koontz and O'Donnell, who identify the five basic management processes as planning, organizing, staffing, directing and controlling acknowledge that "planning and control are inseparable--the Siamese twins of management" (1955, p. 115).

This highly integrated relationship of planning and control can be broken down into three distinct processes to

provide a framework for analyzing control: strategic planning, management control and task control. To better understand the relative position of management control within this overall framework, Anthony and Young's definitions are used to define these three processes.

> Strategic planning is the process of deciding on objectives of the organization, on changes in these objectives, on the resources used to attain these objectives, and on the policies that are to govern the acquisition, use and disposition of these resources.
>
> Management control is the process by which managers assure that resources are obtained and used effectively and efficiently in the accomplishment of the organization's objectives.
>
> Task control is the process of assuring that the day to day activities and in particular specific tasks are carried out effectively and efficiently. (Anthony and Young, 1988, pp. 4-5)

Although each process includes planning activities and control activities, the difference between these three processes is in the relative amounts of planning and control that each uses. These varying proportions are depicted in Figure 2.2. This shows that while the strategic planning process involves primarily planning, the operational control process consists mostly of control activities. The management control process may be seen as having equal proportions of both planning and control. (Anthony and Welsch, 1974, p. 302)

Based on this concept, the next section will begin an examination of the characteristics of the management control process.

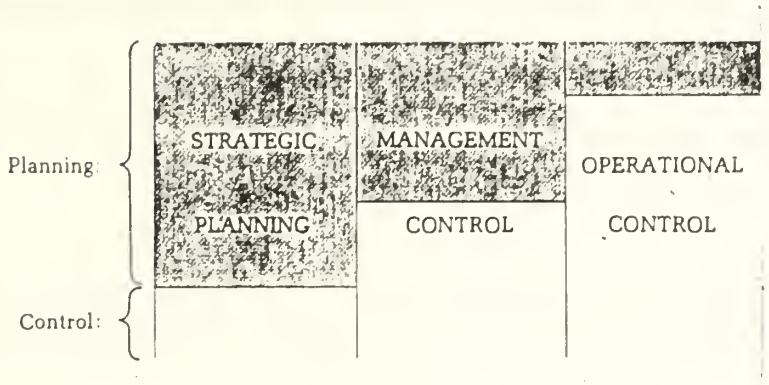

Figure 2.2. Relative Importance of Planning and Control (Anthony and Young, 1988, p. 302)

D. THE CHARACTERISTICS OF MANAGEMENT CONTROL

Management control has been defined by most of the leading authors of management, including Mockler (1972), Jerome (1961), Koontz and O'Donnell (1955) and Anthony and Young (1988). Although their definitions vary to some degree, there is an underlying consensus to the overall characteristic of management control. That consensus can best be described by the concept previously stated by Koontz and O'Donnell in that all control processes can be reduced to three essential steps: (1) establishing standards; (2) measuring performance against these standards; and (3) correcting deviations from standards and plans. However, this simplified three-step notion of control can be dangerous in that it seems to emphasize corrective action only after deviations from standards have taken place.

Newman and Warren (1976, pp. 455-456) stress that there are actually three phases of control that can be used during the management control process to help eliminate the problem of oversimplification:

1. Steering controls, where results are predicted and corrective action taken before the entire operation is completed.
2. Yes-No controls, where approval to continue is not given until intermediate screening tests are passed.
3. Post-action controls, in which results are measured and compared to a standard after all action is completed.

While acknowledging that all three types of controls may be needed within an activity, Newman and Warren assert that steering controls offer the greatest opportunity for constructive effort, by providing a mechanism for corrective action while the actual operations are still being performed. They state that yes-no controls are necessary safety devices against ineffective steering controls and believe that post-action controls are applied too late to be very effective. In general, managers must ensure that sufficient emphasis is given to pre-control and concurrent controls (i.e., steering and yes-no controls) in order to take full advantage of the potential benefits of the control function.

By combining Koontz and O'Donnell's three step process and Newman and Warren's three phases of control, the management control process can then be best categorized by the four

phases of management control developed by Anthony and Young (1988, pp. 17-20). The four phases they identified were the following:

1. Programming
2. Budget formulation
3. Operating and measurement
4. Reporting and evaluation

The authors see these steps as recurring in a regular cycle that constitutes a closed loop, as shown in Figure 2.3.

The programming phase consists of deciding which specific major programs the organization plans to undertake during the coming period. These programs could be included in already agreed upon strategies or represent changes to that strategy. To a large extent these programming phases are based upon a variety of economic analyses. However, for many programs, particularly in the public sector, estimates of economic benefits can not be made. Therefore, decisions are based on judgment, which can be influenced by program advocates and political ramifications.

The budget formulation phase can be described as converting agreed upon plans into a monetary statement. Planned outputs to be produced during the budget year are listed, as well as resources to be expended.

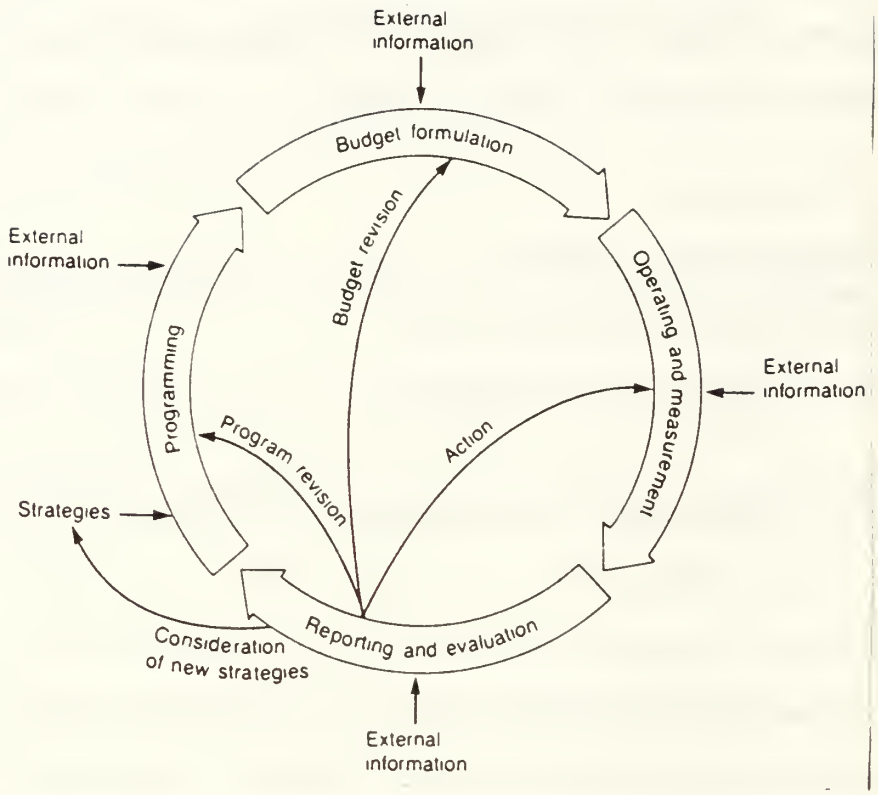

Figure 2.3. The Management Control Process (Anthony and Young, 1988, p. 18)

The third phase, operating and measurement, involves the collection and classification of cost data for the resources consumed and the outputs achieved. Reporting and evaluation, the final phase, compares projected and actual inputs and outputs. This information is used to coordinate and control the current activities of the organization, evaluate operating performance and to serve as a basis for program evaluation and if required, revision. (Anthony and Young, 1988, pp. 17-20)

In each of these four phases of management control, the underlying principles are based upon the concepts of efficiency and effectiveness. Efficiency measures the amount of output per unit of input. It is a measure of how well resources are being used. Effectiveness, on the other hand, involves the ability to choose appropriate objectives. Although efficiency is an important factor in the success of an organization, effectiveness is the most critical aspect. No amount of efficiency--doing things right--can compensate for a lack of effectiveness--doing the right thing. (Freeman and Stoner, 1989, p. 10) The aforementioned authors, Mockler (1972), Jerome (1961) and Koontz and O'Donnell (1955) all point to the fact that in the final analysis, good management control should promote efficiency and effectiveness. One, should not be gained, at the expense of the other.

E. CONTROL DEVICES

To implement the concepts of management control within an organization, various control devices must be used. The budget is probably the most widely used control device used by businesses. (Mockler, 1972, p. 85) However, the military organization, whose budget is by and large fixed, is unable to rely on the budget and must use other non-budgetary control devices. These include special reports and analyses, statistical data, break-even analyses, personal observation, internal auditing and the use of improved information

technology. The focus of this thesis is on the use of special reports, internal audits and the incorporation of improved technology.

Special reports are helpful for controlling particular problem areas. Although organizations may produce various reports and analyses on a routine basis, in some areas these may be inadequate. A special report could then be used to furnish the required information.

Another effective control device is the internal audit. By use of a regular and independent appraisal, actual results of the organization's operations can be weighed against planned results. Internal auditors might also appraise policies, procedures, use of authority, quality of management, effectiveness of methods and other phases of operations. (Koontz and O'Donnell, 1955, pp. 602-607)

F. MANAGEMENT CONTROL SYSTEMS

To achieve the greatest effectiveness and efficiency, it may be helpful to emphasize that management control must exist as a total system, rather than as a single function. With this concept in mind, Anthony and Young (1988, pp. 20-22) stress five general characteristics of a management control system, that have a bearing on its effectiveness and efficiency.

First, a management control system must be a total system in the sense of embracing all aspects of an organization's

operation. It must function as a total system to ensure proper balance between all parts of the operation. Information flow to management is an essential element in their ability to monitor this balance.

Second, the system should encourage goal congruence among the personnel of the organization. Since it is normal to expect persons to act in their own self-interest, it is essential for control systems to be designed such that the perceived self-interests of the managers are also in accord with the best interests of the organization.

Third, except for rare instances, the management control system is based on a financial structure of some sort. The monetary measurement of inputs and outputs provides a common ground for evaluation and has been used widely throughout the years.

Since the control process seems to follow a definite pattern or timetable, the fourth characteristic is that it tends to be rhythmic. Certain steps are performed in a prescribed sequence that result in the different echelons of the organization reviewing this information and disseminating feedback, all occurring in a set format and specified timetable.

Lastly, the authors state that the management control system should be a coordinated, integrated system. Much of the data collected in a management control system is used to prepare a variety of reports and analyses and, must therefore

be reconcilable with one another, regardless of the specific purpose for which it was collected.

G. MANAGEMENT CONTROL IN THE PUBLIC SECTOR

To this point in the chapter, little distinction has been made between the application of management control principles to either the public sector or the private sector. Although the two sectors are alike in many respects, several key distinctions warrant consideration.

One significant difference between the public and the private sector is the lack of a profit motive or measure in the former. The for-profit business enterprise can orient all decision making and, therefore, management control to increase or maintain profits. Such is not the case for a government or non-profit agency.

> Decisions made by management are intended to result in providing the best possible service with the available resources; success is measured primarily by how much service the organization provides and by how well these services are rendered. More basically, the success of a non-profit organization should be measured by how much it contributes to the public well being. (Anthony and Young, 1988, p. 49)

Profits and services are very different measures of the output of an organization. A for-profit firm must sell goods and services that its customers find adequate in order to earn a profit. To continue rendering services, a non-profit organization must produce operating revenues or obtain funding from other sources that will cover expenses. For both types

of organizations, the control system must be concerned with the accurate measurement of both inputs and outputs in determining efficiency and effectiveness. Since the inputs of all organizations can normally be measured in terms of monetary value, it is the output measurement that makes the management control of non-profit organizations more difficult than that of for-profit organizations. Although profit is not the only output measure of a corporation, it provides a single, satisfactory, overall measurement of the organization's performance.

According to Anthony and Young (1988, pp. 55-57), the absence of a profit measure causes several problems for a non-profit organization.

1. There is no clear-cut single objective function that can be used in analyzing alternative courses of action.
2. Estimating the relationships between inputs and outputs is less accurate and more difficult.
3. Measuring the performance between different cost centers is difficult. The determination of how much service should have been rendered for the input cost is highly subjective and often impossible to even estimate.
4. Delegation of decisions to lower level managers is often difficult because of the lack of a clear cut, common goal.

These problems are all inherent in public organizations due to their non-profit nature. Anthony and Young note that,

> great improvements in output measurement are indeed possible, and the problem is so important that a considerable effort to make such improvements is

> worthwhile; but it must be recognized at the outset that the resulting system will never provide as good a basis for planning or for measuring performance as exists in for-profit organizations. (1988, p. 73)

Anthony and Young consider the foregoing considerations to be technical in nature. They also believe that a number of behavioral characteristics distinguish non-profit from for-profit organizations. Within non-profit organizations, these characteristics include the dominance of professionals rather than managers in management positions, unclear lines or diffusion of responsibility, the existence of major political influences, and slow adaptation of 20th century accounting and management control concepts and practices. (Anthony and Young, 1988, pp. 54-72)

These behavior differences have had a significant impact on how the private sector views the managerial abilities of non-profit organizations. In spite of the technological and managerial advances made within the last 30 years, non-profit organizations, in many cases, are several years behind the abilities of private sector organizations. Most of these differences can be rectified by gaining a proper understanding of the organization and further education. Unfortunately, political influences will continue to be an issue for non-profit organizations, however, with competent managers, this problem area can be minimized.

H. A MODEL FOR MANAGEMENT CONTROL

Mockler's definition of management control (1972, p. 2) can be used to form the basis of a division of the management control process into four steps. The breakdown is a logical, sequential, and fairly comprehensive framework for looking at the management control process. It serves as a useful model that can be used for comparison and analysis of ACIP payment management control in this thesis. The four steps of the Mockler model which is presented in Figure 2.4 are:

1. Establish standards and methods for measuring performance.
2. Measure the performance.
3. Determine whether performance matches the standard.
4. Take corrective action if necessary to assure that all organizational resources are being used in the most effective and efficient way possible in achieving organizational objectives.

Mockler contends that modern management control is more than just measuring, comparing and taking corrective action.

> In addition to measuring, comparing and taking corrective action, there are a number of important action steps in modern management control: creating and communicating effective standards, developing information reporting systems, determining the significance of deviations from standards and taking positive action to improve operations. The greater emphasis given to these action steps is one of the major factors which distinguishes modern management control from more traditional business control concepts. (Mockler, 1972, p. 4)

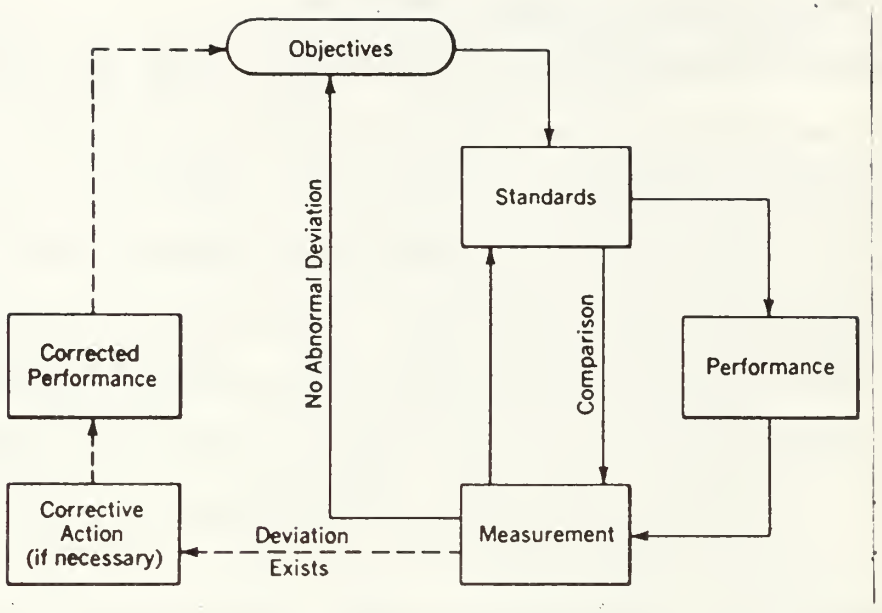

Figure 2.4. The Mockler Model of Management Control (Mockler, 1972, p. 21)

Several additional aspects of the model should be emphasized, as they are central to the assessment of ACIP payment management control. Mockler (1972, p. 3) writes that setting standards is the most critical aspect of control. However, standards in for-profit organizations are normally linked to a profit incentive. Therefore, in the non-profit sector, the mere selection of an output or performance measure is of primary concern. Section G presented Anthony and Young's views on both the necessity for accurate and appropriate performance measurement and the problems associated with achieving this end in public organizations. This study stresses the requirement for accurate and

appropriate performance measurement as well as the development of a viable information reporting system as part of the model.

As stated in Section E, control devices are necessary to fully implement a system of management control. The budget is acknowledged to be a widely used device for exercising this control within most organizations. (Koontz and O'Donnell, 1972, p. 594) As the Navy's management control of ACIP payments is evaluated in comparison with the Mockler model described in this section, the use of control devices, particularly the use of internal audits and improved information technology, will be emphasized.

I. SUMMARY

This chapter identified a framework for the evaluation of the Navy's management control of ACIP payments to SELRES. The concept of control and the process of information feedback were seen to form the basis of management control, which was then placed in the overall organizational context using McFarland's description of planning and control processes. This was followed by a description of the nature and characteristics of management control. Control devices were covered next, including the inadequacy in using the budget as a control device in some governmental organizations. The total system concept of management control was also stressed, as well as the special problems associated with control in the

public sector. The final section established a model of management control to be used in the later analysis.

III. AVIATION CAREER INCENTIVE PAY

A. GENERAL

The payment of Aviation Career Incentive Pay (ACIP) is a fairly complex and sometimes confusing issue. This chapter will discuss the ACIP program in detail and will then address the peculiarities associated with the payment of ACIP to SELRES.

B. PURPOSE OF ACIP

Acknowledging the fact that aviation service is hazardous to its military members, the aviation pay system of the Armed Forces was established by Title 37, U.S. Code. Although this law has been restructured by numerous amendments, its primary purpose is to enable the Armed Forces to attract and retain aviation officers. It also serves to achieve a more equitable distribution of flight pay throughout the officer rank structure. (Title 37, 1988, p. 260) Naval ACIP is restricted to regular and reserve officers who hold, or are in training for, an aeronautical rating or designation. To remain eligible for continuous ACIP, an aviation officer must meet certain physical qualifications and operational experience criteria during his/her career. Commander Naval Military Personnel Command (NMPC-432) is the principle administrator of ACIP for active duty aviation officers.

C. AVIATION CAREER SCREENING GATES

Entitlement of continuous ACIP is based upon the accumulation of months of flying during an officer's career measured at the 12 and 18 year points. Months of Flying (MOF) are automatically credited to an officer when assigned to those billets identified on the activities Officer Distribution Control Report (ODCR) as 13X1, 13X2, 1511, 1512, 7321 and 7322. Aviation officers assigned to billets with a designator other than these are in non-operational flying billets and are not credited with Months of Flying.

To be entitled to continuous ACIP, an officer must perform at least six years of operational flying (72 MOF) in 12 years. Satisfactory completion of this requirement entitles the officer to receive ACIP up through 18 years of aviation service. (NAVMILPERSCOMINST 7220.1, p. 1-2)

Upon reaching 18 years of aviation service, the officer's Months of Flying are calculated to determine further entitlement to continuous ACIP. If an officer has performed 11 years of operational flying (132 MOF), he/she is entitled to ACIP through 25 years of officer service. If the officer has performed at least nine years (108 MOF) but less than 11 years (132 MOF), the officer will be entitled to ACIP through 22 years of officer service.

As long as the officer is physically qualified and meets the requirements of the aviation career screening gates at 12 and 18 years, he/she is eligible to receive continuous ACIP.

This eligibility continues regardless if the officer is assigned to an operational flying or non-operational flying billet.

D. GATE FAILURE

Officers who fail to meet the required number of months of flying at the aviation career screening gates are not entitled to receive continuous ACIP. ACIP will be discontinued at the end of 12 years of aviation service if 72 MOF has not been achieved. If an officer has not accumulated 108 MOF out of 18 years of aviation service, ACIP will be stopped at the end of 18 years of aviation service.

If an officer has failed either the 12 or 18 year screening gates but is assigned to an operational flying billet, he/she is eligible to receive conditional ACIP. Conditional ACIP allows the officer to receive ACIP and accumulate Months of Flying while assigned to an operational flying billet. However, when that officer is transferred from an operational flying billet to a non-operational flying billet, ACIP is discontinued.

If an officer fails to meet the 12 year gate but has subsequently accumulated the required Months of Flying (72 MOF), he/she is not entitled to continuous ACIP. At the 18 year screening gate, NMPC-432 will review the current Months of Flying to determine if the officer has accumulated at least 108 MOF to be eligible for continuous ACIP. If 108 MOF has

not been accumulated, the officer will only receive conditional ACIP when assigned to an operational flying billet. (NAVMILPERSCOMINST 7220.1, p. 1)

E. SELRES ACIP

The payment of ACIP to all aviation officers is specifically addressed in Title 37, U.S. Code, Commander Naval Military Personnel Command Instruction (NAVMILPERSCOMINST) 1301.2, NAVMILPERSCOMINST 7220.1 and the Department of Defense Military Pay and Allowance Entitlements Manual. Additional procedures for the payment of ACIP to SELRES is addressed in Bureau of Naval Personnel Instruction (BUPERSINST) 1001.39 and Commander Naval Reserve Force Instruction (COMNAVRESFORINST) 1001.5.

When a designated aviator is released from active duty and initially accepted into the Naval Reserve, administrative control of ACIP is transferred from NMPC-432 to NMPC-912. The individual's official records are screened and important data such as Aviation Commissioning Date (ACD), Aviation Service Entry Date (ASED), Months of Flying and gate status date are extracted. This data is then used to update the Inactive Officer Master File. (BUPERSINST 1001.39, p. 11-2)

A SELRES is normally assigned to one of two types of units within the Naval Reserve:

1. Operational Unit--units within which SELRES fly operational and training missions. These units are

comprised of Reserve Force Squadrons, C-12 logistics units, training units located at various training squadrons within the Naval Air Training Command and units within Carrier Air Groups 20 and 30.

2. Non-Operational Unit--commonly known as re-enforcing and sustaining units. Located at Naval Reserve Readiness Commands, Naval Air Stations, Naval Air Facilities, Naval Air Reserve Centers and Naval Reserve Centers throughout the United States. SELRES assigned to these units do not fly. (COMNAVRESFORINST 1001.5, p. 2-3)

SELRES assigned to 13XX billets within operational units and who are otherwise qualified are eligible to receive continuous ACIP. Months of Flying continue to accumulate for meeting aviation career screening gates while assigned to operational units.

If a SELRES is assigned to a re-enforcing and sustaining unit (non-operational unit), he/she is still eligible to receive continuous ACIP, although certain limitations exist. Re-enforcing and sustaining units may be comprised of a variety of officer designator billets; for purposes of ACIP, those billets are classified as qualifying or non-qualifying billets. A qualifying billet is any 13XX or 1515 billet, non-qualifying billets are all other billets within the unit.

If assigned to a qualifying billet, SELRES are entitled to receive continuous ACIP as long as they are physically qualified and have accumulated the required Months of Flying to pass the aviation career screening gates.

If assigned to a non-qualifying billet, SELRES continue to receive ACIP for 24 months. At the end of 24 continuous months, ACIP entitlement is discontinued. If the SELRES is subsequently reassigned to a qualifying billet, he/she is again eligible to receive continuous ACIP if otherwise qualified. SELRES must also meet the conditions required for the 12 and 18 year aviation screening gates to remain eligible for continuous ACIP, as well as the time limitation of being in a non-qualifying billet for less than 24 months.

F. SUMMARY

This chapter provides a detailed explanation of Aviation Career Incentive Pay and the different requirements that must be met for an officer to receive continuous ACIP throughout his/her Naval career. Although the difference between the payment of ACIP to active duty and SELRES officers is relatively small, one major difference is that of billet assignment governing entitlement to continuous ACIP.

Regardless of the billet assigned to, if otherwise qualified, active duty aviators are entitled to continuous ACIP up to the twelfth year of aviation service. This eligibility continues up to 18, 22 or 25 years, depending on the number of Months of Flying the active duty aviator has accumulated at the 12 and 18 year aviation career screening gates.

SELRES are entitled to continuous ACIP as long as they are assigned to either an operational flying billet or a 13XX or 1515 billet in a re-enforcing and sustaining unit. If assigned to a non-13XX or non-1515 billet, entitlement to continuous ACIP is lost after 24 months. They must also meet the aviation career screening gates to remain eligible for continuous ACIP.

As will be discussed in Chapters IV and V, the management control procedures currently being used by field activities within the Naval Reserve Force are not effective in monitoring this 24 month limitation period.

IV. PROBLEMS WITH AVIATION CAREER INCENTIVE PAY CONTROL

A. GENERAL

This chapter will address specific problems the Naval Reserve Force encounters in controlling the payment of ACIP to SELRES assigned to non-qualifying billets in re-enforcing and sustaining units. An overview of the Naval Reserve Force structure will first be presented, followed by the affiliation and billet assignment process of SELRES. The various reports and documents used by the Naval Military Personnel Command, Naval Reserve Personnel Command and field activities to control billet assignments will also be discussed. Included in this discussion will be specific problems field activities and COMNAVRESFOR inspection teams have in using these reports and documents in controlling and monitoring ACIP payments. Several of these reports are presented in Appendix B as an aid to understanding them.

B. NAVAL RESERVE FORCE

Commander Naval Reserve Force is divided into two separate areas; Commander Naval Air Reserve Force (COMNAVAIRESFOR) and Commander Naval Surface Reserve Force (COMNAVSURFRESFOR), both headquartered in New Orleans, Louisiana.

COMNAVAIRESFOR is responsible for all personnel and equipment assigned to reserve Naval Air Stations, Naval Air

Facilities and Naval Air Reserve Centers throughout the United States. Located at each of these sites are various reserve units. If located at a Naval Air Station, operational units such as reserve squadrons flying F-14's, F/A-18's, A-7's, etc., and logistics units flying C-12's may be assigned to these sites.

Re-enforcing and sustaining units of the Naval Air Reserve are reserve units that do not conduct flight operations. However, they are closely associated with, and provide support for, both reserve and regular Navy forces. Tasked with augmenting all segments of the regular Navy forces during mobilization, these units train at their local activities each month, but report to various activities throughout the country if mobilized. Mobilization sites include Naval Air Stations, aircraft carriers, Naval Air Intelligence units, Naval Air Systems Command and medical and dental units.

COMNAVSURFRESFOR is in charge of all surface activities assigned to the Naval Reserve. The Naval Reserve Surface Force will not be discussed in length as this thesis is concerned with ACIP which is only paid to aviators and not surface or line officers. However, several units within COMNAVSURFRESFOR that mobilize to aircraft carriers or landing platforms for helicopters (LPH) have 13XX billets. Many of these billets are manned by 13XX officers who receive ACIP. As will be discussed later in this chapter, surface administrative personnel may be unfamiliar with the

peculiarities of billet assignment for entitlement to ACIP. This unfamiliarity creates a management control problem specific to the Surface Reserve Force.

C. OFFICER AFFILIATION

Naval aviators being released from active duty and desiring affiliation with the Naval Reserve must adhere to specific requirements. Once an officer has resigned his/her Regular Navy Commission and accepted a Naval Reserve appointment, a Ready Reserve Service Agreement (RRSA), NAVPERS 1200/1, must be approved by NMPC-911. The RRSA, once accepted and approved, is an indefinite agreement that requires the officer to remain a Ready Reservist until terminated by either a personal request, regulation or other administrative action. (BUPERSINST 1001.39, p. 7-1) Due to this binding agreement, a RRSA must also be accepted and approved on reserve officers (USNR) being released from active duty prior to affiliation as a drilling reservist.

Following acceptance and approval of the RRSA, Inactive Duty Training Orders are issued by COMNAVRESFOR. Commanding Officers of Naval Reserve Readiness Commands, Naval Air Stations, Naval Air Reserve Centers and Naval Air Facilities have been delegated the authority by COMNAVRESFOR to issue assignment orders to all Naval Reservists under their control. (BUPERSINST 1001.39, p. 7-2)

D. SELRES ASSIGNMENT

After all affiliation procedures have been completed, the order issuing authority will review the officers' background and qualifications for billet and unit assignment. All attempts will be made to place the officer in the most compatible position available.

Depending on specific unit requirements, some SELRES may be selected by Pilot/NFO Selection Boards to fill vacancies in operational flying units. If assigned to these reserve squadrons, logistics or flight instructor units, SELRES are entitled to receive continuous ACIP. They also accrue Months of Flying while assigned to these operational flying units.

In many situations vacancies may not exist within operational units, or the SELRES' background is not compatible with the unit (e.g., a P-3 pilot can not be selected to fill an F-14 pilot vacancy). Additionally, there may not be an operational unit located where the SELRES desires to participate. In these situations, the SELRES will be assigned to a re-enforcing and sustaining unit for an indefinite length of time. If entitled, ACIP is authorized; however, Months of Flying do not accrue while assigned to a re-enforcing and sustaining unit.

Whenever possible the order issuing authority will assign SELRES to a billet with an exact match of rank, designator and occupational background. However, if an exact match is not possible, substitutions may be allowed. The Reserve Unit

Assignment Document (RUAD), (Appendix B), contains the Reserve Functional Area and Sex (RFAS) Code for each billet within the unit. The RFAS Code identifies the substitutions that are allowed for each billet. For example, a billet's exact match might be a male Supply Corps Lieutenant Commander, the RFAS Code however, may allow a female 13XX Lieutenant to fill the billet. Thus, the RFAS Code allows the order issuing authority greater flexibility in filling vacancies that might otherwise go unfilled due to a lack of personnel with exact matches. COMNAVRESFORINST 5320.1A gives specific guidance as to allowable rank, designator and occupational background that may be substituted based on the RFAS code.

When a newly affiliated SELRES is assigned to a Naval Reserve unit, the order issuing authority will complete the Officer Application/Orders for Inactive Duty Training, Commander Naval Reserve Form 1321/1 (CNAVRES 1321/1) (Appendix B), assigning the SELRES to a unit and a specific billet. The order issuing authority will also annotate on the CNAVRES 1321/1 if ACIP is authorized based on prior information received from NMPC-911. (COMNAVRESFORINST 1001.5, p. 1-5)

During a SELRES' reserve career, he/she may be transferred due to their own request or be transferred due to a billet mismatch (e.g., promoted to a rank out of the RFAS allowable range). The SELRES may also physically move to another location and request to be transferred to a reserve activity located closer to his residence.

When a SELRES is transferred from one unit to another unit, the losing order issuing authority initiates the Reserve Officer Request for Transfer/Termination, Commander Naval Reserve Form 1301/5 (CNAVRES 1301/5) (Appendix B). When completed by the losing field activity, the CNAVRES 1301/5 indicates the unit the SELRES is transferring from and the effective date. The field activity that gains the SELRES will complete the form when the SELRES is assigned to a unit and billet. To verify ACIP eligibility, the gaining, order issuing authority must obtain information about the SELRES' past billet assignment from the losing activity.

Both the CNAVRES 1321/1 and 1301/5 are filed in the SELRES' Personal Drill Folder after completion. They are required to remain in the folder for as long as the SELRES is a drilling reservist.

To improve unit readiness, the reserve unit commanding officer may move individual officers between billets within the same unit. For an internal reassignment of this type, current instructions do not require official transfer paperwork to be completed. Although the process varies between field activities, a written memorandum from the unit commanding officer to the order issuing authority is usually required before reassignment can be accomplished. After the reassignment has been completed, the memorandums are filed in chronological order by the field activity. The SELRES' Personal Drill Folder usually will not have a copy of this

memorandum because they are used for billet reassignments of other individuals as well as updating training readiness for the entire unit.

The management control process is complicated by transfers which occur either between different units. Although the CNAVRES 1301/5 is required to be maintained in the individual's Personal Drill Folder, in many cases it becomes lost or misplaced over the years. When a SELRES transfers between units the losing activity should annotate on the 1301/5 whether ACIP was authorized. However, the gaining activity will not know if the billet was qualifying or non-qualifying unless they telephone the losing activity to verify the last billet. Even if the SELRES was in a non-qualifying billet, the losing activity may not know the length of time the SELRES was in the billet prior to transfer due to inadequate documentation. Therefore, the 24 month period of ACIP eligibility in a non-qualifying billet may be exceeded routinely when a SELRES transfers from one field activity to another.

The control process is further complicated when a transfer occurs within the unit. Since no paperwork is required to be maintained, the field activity has no valid historical data to determine the assignment date to a non-qualifying billet. Although numerous reports are available to field activities, these reports are of little value in determining billet assignment history for ACIP eligibility.

E. REPORTS

Field activities receive several reports from the Commander Naval Reserve Force to aid in controlling and monitoring reserve unit personnel assignments and their training readiness. The following four reports are of primary use by the field activities in determining ACIP entitlement.

1. Reserve Unit Assignment Document (RUAD)

The RUAD, NRPC Report 4080-1020-3 for officers and 4080-1050-3 for enlisted, (Appendix B) is the reserve unit's manning document. This report lists individuals assigned to the unit and reflects vacancies that exist. Each month the field activity receives the "official" RUAD for each reserve unit from NRPC listing all billets by Reserve Billet Sequence Code (RBSC) for officers and enlisted personnel. A working copy of the RUAD can also be printed on an as needed basis by the field activity by accessing the COMNAVRESFOR or NRPC computer databases. If an individual is assigned, information such as the member's Social Security Number, name, training status, training location, mobilization activity and current billet are listed. It will also list the assignment date (ADTE), which is the date the SELRES was last assigned to that particular billet.

If a SELRES has only been assigned to one billet during his tenure in the Naval Reserve and has never moved from the billet, the ADTE date could be used by the field

activity to determine the length of time in a non-qualifying billet. However, if an officer has been reassigned from one non-qualifying billet to another within the same unit, the ADTE will be of no benefit in determining the total months assigned to a non-qualifying billet.

SELRES information contained on the RUAD is obtained from the computer database located at COMNAVRESFOR and NRPC. The field activity is able to update certain items in the databases such as billet assignment and training readiness information via the Reserve Training Support System/Training Enhancement (RTSS/TE) and Reserve Standard Training Administration and Readiness Support System (RSTARS). The activity's RTSS/TE and RSTARS operators, after final approval from the order issuing authority, are able to move personnel from one billet to another within the same unit or another local unit. When the operator moves an individual into a billet, the ADTE is automatically assigned by the computer system. The operator does not have any control in assigning the ADTE. There is also no historical record of billet assignment maintained in the computer databases that field activities may access to determine non-qualifying billet assignment periods.

2. Naval Reserve Unit Profile Report-Officer/Enlisted

The Naval Reserve Unit Profile Report-Officer/Enlisted, NRPC 1080-1363-O-O-M for officers (Appendix

B) and 1080-1363-A-E-M for enlisted, is a monthly report produced by NRPC. The field activity receives the report on each re-enforcing and sustaining unit, separated by officer and enlisted. The 1080-1363 in essence, is a profile report on each individual assigned to a unit, listing important biographical data that is normally located in the member's service record. Important entries for SELRES include home address, security clearance information, date received into the unit (DRCD), ASED, ACD, MOF, ASI and date of last physical examination. The ASI indicates the aviation officer's career incentive pay entitlement status based on the aviation career screening gates, MOF and years of aviation service. The date of last physical is important because SELRES are required to receive an annual flight physical each year to maintain ACIP eligibility. Although the 1080-1363 identifies the unit to which the SELRES is assigned and some ACIP related information, it does not indicate billet assignment or if the billet is qualifying or non-qualifying.

If changes need to be made to the 1080-1363, the field activity will provide the local Personnel Support Activity (PSA) or Personnel Support Detachment (PSD) with the information to be changed. Only the PSA/PSD is allowed to input changes to the 1080-1363 via the RSTARS at the local level.

3. Monthly Master File Flight Data

The Bureau of Personnel-Naval Reserve Personnel Command Monthly Master File Flight Data Report, NRPC 1080-1252, (Appendix B) is the master file for flight data. Produced each month by NMPC, the 1080-1252 is a composite list by Social Security Number of all officers with aviation related designators in the Naval Reserve Force. Important field entries include ASED, ACD, MOF and ASI. NMPC-911 periodically updates the MOF and ASI which enables the field activities to accurately determine ACIP entitlement based on aviation career screening gates. However, even though the 1080-1252 reflects ACIP entitlement, the field activity must ensure that SELRES have not exceeded the 24 month time limit in a non-qualifying billet.

4. Personal Drill Folder

The SELRES Personal Drill Folder is maintained by the field activity accountable for the SELRES drill accounting. Copies of all drills performed for the last two fiscal years, all CNAVRES 1321/1's and 1301/5's, and all Annual Active Duty for Training records are retained in the Personal Drill Folder. As stated previously, the CNAVRES 1321/1 is the form used when the SELRES first affiliates as a ready reservist in the Navy Reserve. The CNAVRES 1301/5 is used for all subsequent transfers between any unit. With the Personal Drill Folder, the field activity is able to manually review

the date of assignment to a unit or billet as recorded on the CNAVRES 1321/1 or 1301/5. If the SELRES has not been reassigned to another billet within the same unit, the date reflected on the 1321/1 or 1301/5 and RUAD would be accurate for billet assignment history. However, if the SELRES has been reassigned to another billet within the same unit, there would not be any documentation in the Personal Drill Folder to indicate these reassignments.

F. NON-QUALIFYING BILLET TRACKING PROCEDURES

Field activities are required to monitor all SELRES who are in non-qualifying billets to ensure that the 24 month limit is not exceeded. (BUPERSINST 1001.39, p. 11-2) From interviews conducted with field activities, it was found that current reports such as the RUAD, NRPC 1080-1252, NRPC-1080-1363 and the Personal Drill Folder do not contain adequate information to monitor billet assignments. Therefore, field activities must either manually track assignment dates or maintain records on personal computers.

To accomplish billet tracking, the field activity must have a listing of all SELRES who are assigned to non-qualifying billets. Then as transfers, both into and out of, the unit occur, information such as the number of months in a non-qualifying billet and a history of billet assignments prior to the current billet assignment must be updated. The master list must also be updated as new SELRES affiliate and

join units, or as reassignments occur within the unit. For an activity with only 20-30 SELRES this can be accomplished very easily. However, for large activities with 100 or more SELRES, this task can be quite demanding. Subsequently, many field activities have neglected to properly monitor billet assignments due to the amount of labor involved in updating these lists. As a result, many SELRES have been found to have been erroneously paid ACIP while assigned to non-qualifying billets for more than 24 months.

Many surface field activities, because of their unfamiliarity with ACIP, are not aware of their responsibilities in monitoring SELRES in non-qualifying billets. However, because ACIP has received increased emphasis in recent years due to DOD budget constraints, the Commander Naval Reserve Force Inspector General has made ACIP a special interest item during their inspections. Therefore, as field activities, both surface and aviation, are inspected, their knowledge of ACIP procedures should improve.

G. COMNAVRESFOR INSPECTOR GENERAL'S AUDIT

Most field activities are inspected by the Commander Naval Reserve Force Inspector General (IG) staff at least every three years. During these inspections, which normally last one week, the IG team will audit all aspects of reserve personnel administration including affiliation, billet assignment, drill monitoring procedures and ACIP payment. Of

special concern is ensuring that SELRES filling billets meet the RFAS Code requirements of designator, rank and sex. The IG team, through reports from NRPC, can easily verify billet assignments as well as affiliation procedures. The accreditation of drills can also be verified through unit mustering forms, copies of completed drill sheets and unit pay lists which are maintained in unit files or the SELRES' Personal Drill Folder.

However, the inspection team cannot easily verify the authenticity of ACIP eligibility based on 24 month assignment to non-qualifying billets. Although the IG team can obtain the current billet assignment data from the RUAD, this report does not indicate previous billets held nor the length of time in those billets.

If a SELRES has only been in one billet since affiliating, the billet assignment date on the RUAD and CNAVRES 1321/1 or 1301/5 would be identical and therefore accurate for determining length of time in a non-qualifying billet. However, if an officer has been in a unit for a lengthy period of time, e.g., five years, the CNAVRES 1321/1 and 1301/5 are usually of no use in determining the true length of time in a billet. These forms are not used for internal reassignments such as when unit commanding officers reassign SELRES out of a billet due to his/her promotion or for career growth of the SELRES every two to three years.

Although the IG team could eventually document all assignments through extensive research, the manhours exerted would be enormous. During a recent local audit conducted at one field activity, 422 manhours were expended in researching the records of 51 SELRES to determine if ACIP was correctly paid (CNRF IG Letter, February 1991). As this Reserve Center had a small contingency of SELRES, the additional manhours necessary for a larger activity would be overwhelming. To expect an IG team to dedicate this much time and effort in the inspection of only one area would be unreasonable. Therefore, to improve the IG team's ability to measure how well the field activities control billet assignments of SELRES and reduce the amount of time required to conduct a proper inspection, a new method of control should be established.

H. SUMMARY

This chapter addressed what was described initially as the primary research question and also two of the secondary issues. It explained the reserve affiliation and billet assignment process in detail to give the reader an understanding of some of the general procedures involved in reserve personnel administration. The reports and forms used in controlling billet assignments were also discussed.

The last two sections described the tracking procedures used to control ACIP payments to SELRES. These procedures are both ineffective in eliminating erroneous payments and

inefficient due to the amount of labor involved in tracking SELRES assigned to non-qualifying billets.

V. CONCLUSIONS AND RECOMMENDATION

A. GENERAL

The main thrust of this thesis has been to take the known problem of erroneous ACIP payments to SELRES, analyze the present method of management control being used and focus on specific recommendations that might be used to improve that control. This chapter presents the conclusions and recommendation reached in the course of this study. The next section discusses the general conclusions. The last section, which will address the remaining secondary issue, proposes a specific recommendation for improvement.

B. CONCLUSIONS

The problem areas discovered in researching this topic relate to a breakdown in management control throughout the Naval Reserve Force. These problems can best be appraised by first reviewing the Mockler Model for Management Control presented in Chapter II of this thesis. The basis for this model is found in Mockler's definition of management control which can be broken down into four logical, sequential steps. (1972, p. 2) These four steps are graphically illustrated in Figure 2.4 of this thesis.

1. Establish standards and methods for measuring performance.

2. Measure the performance.

3. Determine whether performance matches the standard.

4. Take corrective action if necessary to assure that all organizational resources are being used in the most effective and efficient way possible in achieving organizational objectives.

Each of these steps could be looked at individually in analyzing the management control of ACIP payments to SELRES. However, from the previous chapter and the following discussion, it becomes apparent that the first three steps are intertwined and difficult to separate. The last step can be viewed separately as to what has been done to correct the problem from the local field activity level and the Naval Reserve Force level.

The Chief of Naval Personnel, through the BUPERSINST 1001.39, has established the standard of a 24 month time limit of ACIP eligibility for SELRES assigned to non-qualifying billets for the Naval Reserve Forces to comply with. As the primary administrators for controlling ACIP, field activities have received little guidance from the Commander Naval Reserve Force on how to effectively control this standard.

The various control reports that are made available to the field activities through different computer databases, as a whole, do not contain adequate information to effectively control the problem. The CNRF Inspector General, tasked with ensuring compliance with the standard, must also use these same inadequate reports in the management control process.

The NRPC 1080-1252 allows field activities and the IG team to determine if SELRES are entitled to ACIP based on MOF and aviation career screening gates. Another report, NRPC 1080-1363 contains much of the same information as the NRPC 1080-1252 but includes the date of the last physical examination received by the SELRES.

The RUAD contains the current billet and unit assignment data. If the SELRES has been assigned only to one billet and one unit since joining the Naval Reserve, the ADTE on the RUAD can usually be used to determine how many months the SELRES has been in a non-qualifying billet. If the SELRES has been in more than one billet within the same unit, memorandums requesting reassignments, if available, must be used to document the prior billet assignment history. If assigned to more than one unit during a career, CNAVRES 1321/1's and 1301/5's contained in the SELRES Personal Drill Folder are used to determine billet assignment dates. However, these forms will not reflect any changes in billet assignment that might have occurred while assigned to another unit nor internal reassignments.

As can be seen, this process is cumbersome for the field activities to track and even more difficult for the inspection teams to inspect. Although the procedures can be accomplished, a large number of manhours must be expended, and even then, the process is prone to errors. As SELRES transfer between units, both locally and between different geographic

locations, paperwork tends to be misplaced or lost. In addition, other field activities may use different procedures in tracking billet assignments. The determination of billet history and cumulative months in non-qualifying billets, is at best a guess, due to the lack of adequate control methods.

The corrective action taken by some field activities has involved the use of manually updating a local tickler system via a personal computer or hard copy system. By establishing a local system of this type, these field activities have been able to effectively control ACIP payment to SELRES. However, these are isolated cases and problems still exist in the vast majority of field activities. The obvious solution is to develop a control system that is standardized, yet efficient and effective and that can be used throughout the Naval Reserve Force.

C. RECOMMENDATION

Based on the preceding analysis and conclusions, the following recommendation is presented.

- Develop a new report to incorporate historical billet assignment data for all re-enforcing and sustaining units.

This recommendation is based on the fact that the NRPC computer database contains all the required information necessary to develop a new report that can be used by the Naval Reserve Force to control ACIP payments. Although current reports contain most of the information, they lack any

record of past billet assignment history. This information is necessary to determine the cumulative months a SELRES has been assigned to non-qualifying billets.

The development of this new report, depicted in Figure 5.1, incorporates current and historical data. Current data would include information available from the following reports.

1. RUAD for billet information--C-RUIC, C-APC, C-RBSC, C-ADESIG and C-ADTE.
2. NRPC 1080-1252 for ACIP entitlement information--ASED, ACD, MOF and ASI.
3. NRPC 1080-1363 for annual flight physical information.

Six of the seven data fields included in the historical data are based on information that evolves from changes to billet or unit assignment. This section would indicate all billet assignment history prior to the current billet for three years. The last data field, Total Current Months in Non-Qualifying Billets, is a cumulative total of months that SELRES have currently been assigned to non-qualifying billets.

Data such as the SELRES' social security number, name, designator, ASED and ACD would never change. SELRES assigned to operational flying units are automatically entitled to continuous ACIP, therefore this report is intended only for re-enforcing and sustaining units. Subsequently, MOF also would not change as SELRES do not accrue MOF while assigned to re-enforcing and sustaining units. The ASI Code would only

PROPOSED CNRF REPORT

RESERVE UNIT: RUIC: APC:

NAME	SSN	C-DRCD	MOF	C-RBSC	C-ADESIG	P-RUIC's	P-RBSC's	P-ADESIG's	P-ADTE's	P-TDTE's	TCM NQB
DESIG	ASED	ACD	ASI	A-PHYS	ADTE						

Explanation of terms:

Reserve Unit. . name of the re-enforcing and sustaining unit
RUIC. . . . . Reserve Unit Identification Code
APC . . . . . Activity Processing Code
NAME. . . . . name of each individual SELRES
SSN . . . . . Social Security Number
C-DRCD. . . . . date received into the current unit
MOF . . . . . Months of Flying
C-RBSC. . . . . Reserve Billet Sequence Code of billet currently assigned to
C-ADESIG. . . . authorized designator for a particular billet
DESIG . . . . . designator of individual officer
ASED. . . . . Aviation Service Entry Date
ACD . . . . . Aviation Commission Date
A-PHYS. . . . . date of last annual physical
ADTE. . . . . date of last assignment to this billet
P-RUIC's. . . . all past Reserve Unit Identification Codes
P-RBSC's. . . . all past Reserve Billet Sequence Codes for billets assigned to in last three years
P-ADESIG's. . . all past authorized designators of billets assigned to
P-ADTE's. . . . all previous dates of assignment to billets held in last three years
P-TDTE's. . . . all transfer dates from billets held in last three years
TCM NQB . . . . Total Cumulative Months in Non-Qualifying Billets since assigned to 13XX or 1515 billet

Figure 5.1. Proposed ACIP Control Report

change at the 12, 18, 22 and 25 year points in a SELRES' career. The date of the last physical would of course change each time the SELRES received a physical. Any changes to MOF, ASI and date of physical would be accomplished via local RSTARS operators as they occur.

Current and historical billet assignment data is processed as changes occur at the field activity level via the RTSS/TE and RSTARS computers. As changes are made, the RTSS/TE and RSTARS computer databases are updated. These changes are then reflected on subsequent RUAD's, NRPC 1080-1363's and NRPC 1080-1252's. The proposed report could easily be accommodated in this same fashion.

Modification to the present RSTARS computer database at COMNAVRESFOR would only be needed to retain past billet assignment data and total the current cumulative months in non-qualifying billets. Modifications of this type can be accomplished by rewriting the database program. (Graham, 1991)

There are numerous advantages to this report:

1. Management control of ACIP payments to SELRES in non-qualifying billets is easily accomplished by any field activity simply by reviewing the report. Because the database is updated automatically as the RTSS/TE and RSTARS computer operators input transfers and reassignments into the system, very little additional work is required by the field activities.

2. All essential data necessary for field activities to monitor ACIP entitlement are included on one report, separated by unit. Currently, four reports and documents must be used.

3. CNRF inspection teams can measure the field activity's efforts in controlling ACIP payments to SELRES in non-qualifying billets by matching the report against pay lists during inspection visits.

4. Because billet assignments are accomplished via the RTSS/TE and RSTARS computer systems, the report would reflect all billet movements. This would prevent activities from transferring a SELRES into a new billet simply to update the ADTE on the RUAD in an attempt to beat the 24 month time limit.

The time involved to gather billet assignment histories for the last one to three years to begin this report would be its primary disadvantage. However, the future benefits to be derived from these efforts would far outweigh the time involved to update the RSTARS database.

To provide an example of how the report would appear with SELRES assigned, Figure 5.2 is presented with an explanation of billet assignments and transfers.

D. SUMMARY

The recommendation of the new report set forth in this thesis is intended to improve the management control of ACIP payments to SELRES assigned to non-qualifying billets. If implemented, this new report would provide a standardized procedure for management control throughout the Naval Reserve Force. By further utilizing available computer databases, in processing this report, emphasis has been placed on the effective and efficient use of available resources to accomplish the organization's goals and objectives.

PROPOSED CNRF REPORT

RESERVE UNIT: NR NAS N. ISLAND 0170 RUIC: 86782 APC: 700E031

NAME	SSN	C-DRCD	MOF	C-RBSC	C-ADESIG	P-RUIC's	P-RBSC's	P-ADESIG's	P-ADTE's	P-TDTE's	TCM MOB
DESIG	ASED	ACD	ASI	A-PHYS	ADTE						
SWENS	123456789	891201	148	0040N	1105	67890	0050P	1525	891001	891130	21
1325	771025	770715	B	900818	891201	54321	0030N	1105	890701	890930	
NEXT	PERSON	IN UNIT									

The following assumptions are made in respect to the above example of the Proposed ACIP Control Report: (1) Run date of the report is April 1, 1991. (2) The officer is a 1325 who meets ACIP eligibility in all respects, e.g., aviation career screening gates and annual flight physical.

The SELRES affiliated with the reserves and was assigned to his first unit on 890701, that billet's RUIC, unit APC, RBSC and ADESIG are shown on row (4). The billet had an 1105 ADESIG, and therefore was a non-qualifying billet. On 890930, he was transferred to another unit effective 891001. The ADESIG of the new billet was 1525, another non-qualifying billet. That billet's RUIC, unit APC, RBSC, ADESIG and ADTE are listed on row (3).

On 891130, the SELRES was transferred to his present unit, another 1105 billet. All information for the current billet assignment is shown on the left side of the report as well as the SELRES' ACIP entitlement information. As of April 1, 1991, this SELRES had accumulated 21 months in non-qualifying billets. If the SELRES was still assigned to a non-qualifying billet at the end of June 1991, the field activity would notify the Finance Center to discontinue ACIP payment to the SELRES effective July 1, 1991.

Figure 5.2. Proposed Report with SELRES Assigned

APPENDIX A

ACRONYMS AND DEFINITIONS OF KEY TERMS

ACRONYMS

ABSC	Active Billet Sequence Code
ACD	Aviation Commission Date
ACIP	Aviation Career Incentive Pay
ADESIG	Active Designator Code
APC	Activity Processing Code
ASED	Aviation Service Entry Date
ASI	Aviation Status Indicator
AUIC	Active Unit Identification Code
CHNAVPERS	Chief of Naval Personnel
CNO	Chief of Naval Operations
COMNAVAIRESFOR	Commander Naval Air Reserve Force
COMNAVMILPERSCOM	Commander Naval Military Personnel Command
COMNAVRESFOR	Commander Naval Reserve Force
COMNAVSURFRESFOR	Commander Naval Surface Reserve Force
DoD	Department of Defense
DoDPM	Department of Defense Pay Manual
FY	Fiscal Year
IG	Inspector General
IRAD	Individual Readiness Assessment Designator
IRR	Individual Ready Reserve
MAU	Master Augment Unit
MILPERSMAN	Military Personnel Manual
MOBA	Mobilization Assignment
MOF	Months of Flying
NAF	Naval Air Facility
NARCEN	Naval Air Reserve Center
NAR	Naval Air Reserve Unit
NAS	Naval Air Station
NATOPS	Naval Air Training and Operating Procedures Standardization
NFO	Naval Flight Officer
NMPC	Naval Military Personnel Command
NRF	Naval Reserve Force
NRPC	Naval Reserve Personnel Center
ODCR	Officer Distribution Control Report
OPNAV	Office of the Chief of Naval Operations
PEBD	Pay Entry Base Date
PSA	Personnel Support Activity
PSD	Personnel Support Detachment
RESFORON	Reserve Force Squadron

RFAS. . . . . Reserve Functional Area and Sex Code
RSTARS. . . . . Reserve Standard Training Administration and Readiness Support System
RTSS/TE . . . . . Reserve Training Support System/ Training Enhancement
RUAD. . . . . Reserve Unit Assignment Document
RUIC. . . . . Reserve Unit Identification Code
SAU . . . . . Squadron Augment Unit
SECNAV. . . . . Secretary of the Navy
SELRES. . . . . Selected Reserve, in the context of this thesis, only pertains to pilots/NFO's
SSN . . . . . Social Security Number
TAR . . . . . Training and Administration of Reserves
USC . . . . . United States Code
USNR. . . . . United States Naval Reserve
VF. . . . . Fighter Squadron
VFA . . . . . Strike Fighter Squadron
VP. . . . . Patrol Squadron

DEFINITIONS OF KEY TERMS

Aviation Career Incentive Pay (ACIP)--the monetary entitlement for performing aviation service on a career basis.

Aviation Commission Date (ACD)--date the aviation officer accepted his/her initial appointment as an officer.

Aviation Officer--an officer in training for or designated as a Naval Aviator, Naval Flight Officer, Naval Flight Surgeon, Aviation Medical Examiner, Naval Aerospace Experimental Psychologist or Naval Aerospace Physiologist.

Aviation Service--the active or inactive service performed by an officer who holds or is in training leading to an aeronautical rating or designation.

Aviation Service Career--an officer on extended active duty who holds an aeronautical designation shall be considered to be performing aviation service on a career basis, as prescribed in Title 37 U.S.C. 301.a, so long as a member of the authorized rated inventory or is serving in pay grade O-6 or above and is qualified for aviation service.

Aviation Service Entry Date (ASED)--the date an officer first reports on competent orders to the aviation facility having aircraft in which the officer receives flight training.

Aviation service continues to accumulate from this date as long as the officer's flight designation remains in effect.

Aviation Service Indicator (ASI)--a one character code which indicates an aviation officer's career incentive pay (ACIP) entitlement status. Listed on NRPC Reports 1080-1252 and 1080-1363 for SELRES.

Conditional ACIP--monetary entitlement paid on a monthly basis to aviation officers not entitled to continuous ACIP and who have met the necessary flying requirements.

Gate--aviation career screening point established at the 12th and 18th year anniversary of an aviation officer's ASED.

Months of Flying--operational flying credit, in months, acquired by aviation officers while performing operational flying duty that count toward meeting ACIP gate requirements. Can be verified by the NRPC Reports 1080-1252 and 1080-1363 for SELRES.

Operational Flying--flying performed under competent orders by designated officers while serving in assignments in which basic flying skills are normally maintained in the performance of assigned duties.

APPENDIX B

SAMPLE FORMS AND REPORTS

The next five pages are examples of the forms and reports currently used by Commander Naval Reserve Force activities to control billet assignments and also monitor ACIP payments to SELRES:

1. Officer Application/Orders for Inactive Duty Training (CNAVRES 1321/1).
2. Reserve Officer Request for Transfer/Termination (CNAVRES 1301/5).
3. Reserve Unit Assignment Document (RUAD).
4. Naval Reserve Unit Profile Report (NRPC 1080-1363-O-O-M).
5. Monthly Master File Flight Data Report (NRPC 1080-1252).

OFFICER APPLICATION/ORDERS FOR INACTIVE DUTY TRAINING
CNAVRES 1321/1 (2-79) S/N 0117-LF-013-2105

S-3 16

PRIVACY ACT STATEMENT. The authority to request this information is derived from 5 U.S.C. 301, Departmental Regulations. The purpose of this form is to permit an individual to apply for assignment to a Naval Reserve drilling unit. The information is used to evaluate the individual's request for assignment to a drilling unit and to notify him/her of that decision. The form becomes a part of the individual's personnel record. Completion of this form is mandatory. Failure to provide this information may result in an inability to process this application.

NAME (Last, First, Middle)	GRADE	SSN/DESIG	STATUS USNR-

PRESENT ADDRESS	DATE OF BIRTH	DATE OF RANK

I hereby request that I be issued Inactive Duty Training Orders and that I be assigned to	NAVAL RESERVE UNIT AND LOCATION	APC

BILLET/QUOTA

☐ In Pay Status ☐ In Non-Pay Status ☐ Duty Involving Flying-Operational (DIFOPS) ☐ ACIP Authorized but Duty Involving Flying Denied (DIFDEN)

SECTION A

☐ *NAVPERS 1200/1 Enclosed Requesting Transfer To/Retention In The Ready Reserve*

☐ *Standard Form 88/93 Enclosed* ☐ *Physical/Flight Physical At Appropriate Unit Been Completed Within The Past Year*

☐ *I hereby certify that, to the best of my knowledge, there has been no material change in my physical condition since that examination.*

☐ *I am* ☐ *I am not drawing a pension, retired pay, retainer pay, or disability compensation from the United States Government for prior military service.*

☐ *I have* ☐ *I do not have a claim pending for any of the aforementioned types of compensation.*

☐ *I am not a Medical/Dental/Veterinary/Osteopathy/Optometry/Podiatry Student and I am not a Graduate of Medicine (Physician) or Dentistry.*

☐ *I certify that my Aeronautical Designation (1315/1325) Has Not Been Revoked.*

1. I UNDERSTAND THAT FAVORABLE ACTION ON THIS REQUEST BY THE COMMANDING OFFICER WILL ASSIGN ME TO THIS UNIT AS REQUESTED AT WHICH TIME I WILL BE SUBJECT TO MOBILIZATION. I AM AVAILABLE FOR IMMEDIATE ACTIVE DUTY IN THE EVENT OF WAR OR NATIONAL EMERGENCY DECLARED BY THE CONGRESS OR THE PRESIDENT OF THE UNITED STATES, OR AS OTHERWISE AUTHORIZED BY LAW. I AM NOT ENGAGED IN ANY CIVILIAN OCCUPATION OR PURSUIT NOR AM I AWARE OF ANY HARDSHIP OR DEPENDENCY SITUATION WHICH WILL RESULT IN A REQUEST FROM ME OR FROM ANY OTHER SOURCE FOR CANCELLATION OF ACTIVE DUTY ORDERS. SHOULD ANY STATUS CHANGE TO INVALIDATE THE FOREGOING, I WILL INFORM MY COMMANDING OFFICER IMMEDIATELY. WHILE ENGAGED IN TRAINING PURSUANT TO THESE ORDERS I UNDERSTAND I AM SUBJECT TO THE PROVISIONS OF THE UNIFORM CODE OF MILITARY JUSTICE.

2. I CERTIFY THAT THIS ASSIGNMENT WILL NOT CREATE A CONFLICT OF INTEREST WITH THE MISSION OF THE RESERVE UNIT OR MY CIVILIAN EMPLOYMENT AS DEFINED IN SECNAVINST 5370.2. IF AT ANY TIME DURING MY INACTIVE DUTY TRAINING MY STATUS CHANGES TO INVALIDATE THE FOREGOING, I WILL INFORM MY COMMANDING OFFICER IMMEDIATELY.

Signature of Applicant	Date Signed

SECTION B

From CO/OINC (RESCEN/NARDET)	To ☐ CO, NAS, NARU/NAF ☐ NAVRESREDCOM REG _____

Forwarded for confirmation (Signature)	Date Signed

From ☐ CO NAS, NARU NAF ☐ NAVRESRED COMREG	VIA CO/OINC (RESCEN/NARDET)	To *The Above named Officer*

Returned Approved Disapproved You are assigned to the above unit effective _____

In the Billet/Quota of _____

☐ In Pay Status ☐ In Non-Pay Status ☐ Duty Involving Flying Operational (DIFOPS) ☐ ACIP Authorized But Duty Involving Flying Denied (DIFDEN)

When directed by approp. auth., or upon announcement via radio, other news media, or other means, report on M Day (or as directed) to your assigned unit

SECTION C

Signature	Date Signed

From CO/OINC (RESCEN/NARDET)	Delivered (Signature)	Date Signed

DISTRIBUTION. REFER TO CNAVRES INST. 1001.1B U.S. Government Printing Office: 1980—703-100/7368 2-1

CHIEF OF NAVAL RESERVE FORM 1321/1

RESERVE OFFICER REQUEST FOR TRANSFER/TERMINATION (Refer to BUPERSINST 5400.42 Series.)

CNAVRES 1301/5 (Rev. 11-76) S/N 0117-LF-013-0126 (Prepare this form in triplicate.)

PRIVACY ACT STATEMENT: The authority to request this information is contained in 5 U.S.C. 301 Departmental Regulations. The principal purpose of the information is to assist CNAVRES in affecting administrative procedures to transfer/terminate selected reserve officers. Routine uses of the information: used by Naval Reserve activities to process transfer/termination of Naval Reserve inactive duty officers. You are required to provide this information. Failure to do so may result in termination because of uncertainty regarding your intentions.

NAME	RANK	SSN	DESIGNATOR

NEW ADDRESS

PRESENT UNIT	PRESENT BILLET	EXPIRATION OF RRA	DATE OF LAST PHYSICAL

INFO ON ANY EXISTING WAIVERS	DATE OF EXPECTED ARRIVAL IN NEW AREA	NO. OF REG. DRILLS PERFORMED	
		THIS QTR	THIS FY

FROM

TO VIA

REFERENCE
(a) NAVPERS
(b)

Enclosure (if appropriate)
OFFICER QUALIFICATION QUESTIONNAIRE, CNAVRES 1301/4

Request (Check one)

☐ REFERENCE (a) BE TERMINATED (IN ACCORDANCE WITH REFERENCE (b) IF APPLICABLE) EFFECTIVE _____

☐ REFERENCE (a) BE MODIFIED (AS INDICATED BY REFERENCE (b) IF APPLICABLE EFFECTIVE _____.

SQUADRON/UNIT	BILLET	EFFECTIVE DATE

REASON/REMARKS

SIGNATURE	DATE

FROM

TO

Recommend (Check one)

☐ APPROVAL

☐ DISAPPROVAL

TRANSFER TO

SQUADRON UNIT	BILLET	EFFECTIVE DATE

REMARKS

SIGNATURE	DATE

CHIEF OF NAVAL RESERVE FORM 1301/5

PAGE 4 BIL/PER NAVAL RESERVE UNIT ASSIGNMENT (OFF) AS OF 07-Mar-91

RUIC	APC	RESERVE UNIT	RESERVE ACTIVITY AND LOC	ST	RC	NRA	RPC	RPTN	PRI
53921	700E755	VR-59	NAS DALLAS	TX	11	7070	0582	05	IA

RRSC	C	AUIC	ADESG	RFAS	ANDRASNO	IDESG	ADTE	SSN	I	NAME	IRAD	NOBCSNOB	TRUIC	UMUIC	ABSC	←--MOB ACTIVITY--→	←----MOB BILLET------→
0040P		53921	1311H	1ABE	8670	1315H	1190	[redacted]		KATTE	XXAB0	85988672	53921	53921	00020	VR 59	SQUADRON CO
0032N		53921	1311I	SABE	8680	1315H	1089			HOGAN	XXAA9	86568680	53921	53921	04010	VR 59	SQUADRON OPS
0043N		53921	1311I	7ABE	2615	1315H	0588			WILLI	XXA58	85982615	53921	53921	01010	VR 59	ADMINISTRATIVE
0033N		53921	1311I	8ABE	3290	1315H	0189			HOPKI	XXA19	85983290	53921	53921	06010	VR 59	TRAINING
0077N		53921	1311J	8ABE	9596	1315I	0189			SMITH	XXA19		53921	53921	04810	VR 59	FLIGHT CREW
0087N		53921	1311J	8ABE	8596	1315J	0189			BROSS	XXA19	8598	53921	53921	04800	VR 59	FLIGHT CREW
0090N		53921	1311J	8ABE	8596	1315J	0190			SHUNN	XXA10	86968197	53921	53921	04790	VR 59	FLIGHT CREW
0076N		53921	1311J	8ABE	8596	1315I	1289			MCNIC	XXAC9	85618598	53921	53921	04780	VR 59	FLIGHT CREW
7001N		53921	1311J	7ABE	8596	1315H	0191			CONRO	XXA11	85968598	53921	53921	04770	VR 59	FLIGHT CREW
0067N		53921	1311K	8ABE	8598	1315I	1190			KELLY	XXAB0	90638696	53921	53921	04970	VR 59	FLIGHT CREW
0068N		53921	1311K	8ABE	8598	1115J	1090			DRILL	XXAA0	90658176	53921	53921	04980	VR 59	FLIGHT CREW
0080N		53921	1311K	8ABE	8598	1315J	1190			COOMB	XXAB0		53921	53921	05010	VR 59	FLIGHT CREW
0083N		53921	1311K	8ABE	8598	1315I	1189			WATSO	XXA90	8598	53921	53921	04860	VR 59	FLIGHT CREW
0086N		53921	1311K	8ABE	8598	1315J	1190			HAMIL	XXAB0	86628197	53921	53921	04910	VR 59	FLIGHT CREW
0070N		53921	1311K	8ABE	8598	1315J	1090			SHANK	XXAA0	8592	53921	53921	04990	VR 59	FLIGHT CREW
0065N		53921	1311K	8ABE	8598	1315I	0189			KACHM	XXA19	85928596	53921	53921	05020	VR 59	FLIGHT CREW
0069N		53921	1311K	8ABE	8598	1315J	1189			HOLMS	XXA90	85988696	53921	53921	04850	VR 59	FLIGHT CREW
0071N		53921	1311K	8ABE	8598	1315I	1090			HASS	XXAA0	81768596	53921	53921	04890	VR 59	FLIGHT CREW
0088N		53921	1311K	8ABE	8598	1315I	0189			ROBER	XXA19	85988696	53921	53921	04930	VR 59	FLIGHT CREW
0064N		53921	1311K	8ABE	8598	1315J	1090			SANTI	XXAA0		53921	53921	04960	VR 59	FLIGHT CREW
0074N		53921	1311K	8ABE	8598	1315I	0189			EAST	XXA19	86568596	53921	53921	04880	VR 59	FLIGHT CREW
0078N		53921	1311K	8ABE	8598	1315I	0189			ROTH	XXA19	85968656	53921	53921	04950	VR 59	FLIGHT CREW
0079N		53921	1311K	8ABE	8598	1315I	0189			WELCH	XXA19	85988596	53921	53921	04920	VR 59	FLIGHT CREW
0066N		53921	1311K	8ABE	8598	1315J	0290			ADAMS	XXA20	85938666	53921	53921	05000	VR 59	FLIGHT CREW
0072N		53921	1311K	8ABE	8598	1315I	0989			PRESC	XXA99	86848678	53921	53921	04900	VR 59	FLIGHT CREW
0084N		53921	1311K	8ABE	8598	1315I	0189			BAKER	XXA19	26158515	53921	53921	04870	VR 59	FLIGHT CREW
0085N		53921	1311K	8ABE	8598	1315I	0191			BURTN	XXA11	85968673	53921	53921	04940	VR 59	FLIGHT CREW
0046F		53921	6330J	XSHE	8176	1525K	0788			HOUST	XXA90	81767435	53921	53921	15030	VR 59	A/C ORDNNT/MTL
0081F		53921	6380I	SSKE	8190	1525H	0189			BASTE	XXA19	81968191	53921	53921	15020	VR 59	A/C ORDNNT GEN ASST
0073F		53921	7340N	XUEE	8176	6335J	0189			BAILE	XXA19	8177	53921	53921	16010	VR 59	A/C ORDNNT/MTL

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